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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/517,366	03/02/2000	Jeffrey S Barber	10970975-1	4565

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FORT COLLINS, CO 80527-2400

EXAMINER

OPIE, GEORGE L

ART UNIT	PAPER NUMBER
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2126

DATE MAILED: 01/16/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

**Office Action Summary**

Application No.

Applicant(s)

09/517,366

Barber et al.

Examiner

Art Unit

George L. Opie

2126

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136 (a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).

**Status**

- 1) ☒ Responsive to communication(s) filed on 17 October 2003.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-40 is/are pending in the application.
- 4a) Of the above claim(s) ☐ is/are withdrawn from consideration.
- 5) ☐ Claim(s) ☐ is/are allowed.
- 6) ☒ Claim(s) 1-40 is/are rejected.
- 7) ☐ Claim(s) ☐ is/are objected to.
- 8) ☐ Claim(s) ☐ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on ☐ is/are objected to by the Examiner.
- 11) ☐ The proposed drawing correction filed on ☐ is: a) ☐ approved b) ☐ disapproved.
- 12) ☐ The oath or declaration is objected to by the Examiner.

**Priority under 35 U.S.C. § 119**

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d).
- a) ☐ All b) ☐ Some \* c) ☐ None of the CERTIFIED copies of the priority documents have been:
1. ☐ received.
2. ☐ received in Application No. (Series Code / Serial Number) ☐.
3. ☐ received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

- 14) ☐ Acknowledgement is made of a claim for domestic priority under 35 U.S.C. & 119(e).

**Attachment(s)**

- 14) ☒ Notice of References Cited (PTO-892)
- 15) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 16) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s) ☐.
- 17) ☐ Interview Summary (PTO-413) Paper No(s) ☐.
- 18) ☐ Notice of Informal Patent Application (PTO-152)
- 19) ☒ Other: Text Docs for USP5,784,463 USP5,560,008

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## DETAILED ACTION

This Office Action is responsive to Amendment A, in which claims 1-4, 9-14, 19-24 and 29-30 were amended, and new claims 31-40 were added.

**1. Request for copy of Applicant's response on floppy disk:**

Please help expedite the prosecution of this application by including, along with your amendment response in paper form, an electronic file copy in WordPerfect, Microsoft Word, or in ASCII text format on a 3½ inch IBM format floppy disk.

Please include all pending claims along with your responsive remarks. Only the paper copy will be entered -- your floppy disk file will be considered a duplicate copy. Signatures are not required on the disk copy. The floppy disk copy is not mandatory; however, it will help expedite the processing of your application. Your cooperation is appreciated.

2. The U.S. Patents used in the art rejections below have been provided as text documents which correspond to the U.S. Patents. The relevant portions of the text documents are cited according to page and line numbers in the art rejections below. For the convenience of Applicant, the cited sections are highlighted in the *text documents*. Consistent with Office procedure, the U.S. Patents corresponding to the *text documents* are also included with this action.

3. Claim Rejections - 35 U.S.C. § 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

4. Claims 1-30 are rejected under 35 U.S.C. § 103(a) as being unpatentable over McNabb et al. (U.S. Patent 6,289,462) in view of Chen et al. (U.S. Patent 5,784,463).

As to claim 1, McNabb teaches a "trusted server computing system is provided for permitting controlled execution of processes", p6 28-43 comprising:

a software process operating on a computer "process is the instance of a running program ... such as a network browser", p9 23-40 the process including a plurality of attributes "attributes of the process", Id.

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an operating system kernel "Unix ... kernel", p10 37-56 in communication with the software process "requesting process", Id. and in communication with an executable file to be accessed by said software process "permissions permit the execution of the file", Id. and

"[w]hen a process attempts to access a file system object, the OS compares various attributes of the process with attributes of the object, and allows or denies access", p8 44-57 through the use of a "database and privilege sets of the file" p14 21-47.

McNabb does not explicitly disclose the additional limitations detailed below.

Chen teaches the modifying of attributes associated with a process (dynamic configuration of the client, p6 10-24) based on an executable environment attribute stored in association with the executable file (service entitlement from an access control database, Id.).

It would have been obvious to combine Chen's teachings with McNabb because the "reconfiguration" of client attributes while maintaining the security would enable access to various protected applications through "different or changing user entitlements" (Chen Abstract) at the same time as reducing user authentication-overhead while increasing flexibility for the user.

As to claim 2, McNabb (p5 26-37) teaches a sensitivity label in conjunction with extended attributes for augmenting security.

As to claim 3, McNabb (p9 23-40) teaches "the trusted server system has added an 'authorization database' in the OS that is used to see if the user running the process can access or execute the requested program."

As to claim 4, McNabb (p9 23-40) teaches "the OS compares the attributes of the process to . . . user and group identifiers".

As to claim 5, McNabb (p16 1-25) teaches the "application resides in its own compartment".

As to claims 6-8, McNabb (pp21-22) teaches the web server, file transfer and mail server processes.

As to claim 9, McNabb (p17 12-27) teaches the processor associates user process privileges with the requested object upon commencing connection/execution with that object.

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As to claim 10, McNabb (p21 37-55) teaches the updating/replacing of attributes associated with a process.

As to claims 11-20, note the rejections of claims 1-10 above. Claims 11-20 are the same as claims 1-10, except claims 11-20 are method claims and claims 1-10 are apparatus claims.

As to claims 21-30, note the rejections of claims 1-10 above. Claims 21-30 are the same as claims 1-10, except claims 21-30 are computer program product claims and claims 1-10 are apparatus claims.

5. Claims 31-40 are rejected under 35 U.S.C. § 103(a) as being unpatentable over McNabb and Chen as applied to claims 1, 11, 21 respectively, and further in view of Johnson et al. (U.S. Patent 5,560,008).

As to claims 31-33, Johnson (pp8-14) teaches security inheritance and flags, and from this, one skilled in the art would have provided the inherit flag and the operations associated with passing along privileges. It would have been obvious to combine Johnson's teachings with McNabb as modified because the inheritance mechanism obviates redundant security overhead by using the authentication credentials that have already been established in the safe-session protocol.

As to claims 34-37, note the rejections of claims 31-33 above. Claims 34-37 are functional equivalents of claims 31-33, except claims 34-37 are method claims and claims 31-33 are apparatus claims.

As to claims 38-40, note the rejections of claims 31-33 above. Claims 38-40 are the same as claims 31-33, except claims 38-40 are computer program product claims and claims 31-33 are apparatus claims.

**6. Response to Applicant's Arguments:**

Applicant's remarks accompanying Amendment A, have been considered, but are moot in view of the new grounds of rejection necessitated by the amendments to the claims.

**7. THIS ACTION IS MADE FINAL.**

**A SHORTENED STATUTORY PERIOD FOR RESPONSE TO THIS FINAL ACTION IS SET TO EXPIRE THREE MONTHS FROM THE DATE OF THIS**


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ACTION. IN THE EVENT A FIRST RESPONSE IS FILED WITHIN TWO MONTHS OF THE MAILING DATE OF THIS FINAL ACTION AND THE ADVISORY ACTION IS NOT MAILED UNTIL AFTER THE END OF THE THREE-MONTH SHORTENED STATUTORY PERIOD, THEN THE SHORTENED STATUTORY PERIOD WILL EXPIRE ON THE DATE THE ADVISORY ACTION IS MAILED, AND ANY EXTENSION FEE PURSUANT TO 37 C.F.R. § 1.136(a) WILL BE CALCULATED FROM THE MAILING DATE OF THE ADVISORY ACTION. IN NO EVENT WILL THE STATUTORY PERIOD FOR RESPONSE EXPIRE LATER THAN SIX MONTHS FROM THE DATE OF THIS FINAL ACTION.

**8. Contact Information:**

PTO Policy for Facsimile Submissions:

- ☐ AFTER-FINAL faxes must be signed and sent to (703) 746-7238.
- ☐ OFFICIAL faxes must be signed and sent to (703) 746-7239.
- ☐ NON OFFICIAL faxes should be sent to (703) 746-7240.
  
- ☐ All responses sent by U.S. Mail should be mailed to:  
**Commissioner for Patents**  
**PO Box 1450**  
**Alexandria, VA 22313-1450**
  
- ☐ Hand-delivered responses should be brought to Crystal Park Two, 2021 Crystal Drive, Arlington, VA., Sixth Floor (Receptionist). All hand-delivered responses will be handled and entered by the docketing personnel. Please do not hand deliver responses directly to the Examiner.
  
- ☐ Any inquiry of a general nature or relating to the status of this application should be directed to the Group receptionist at **(703) 305-9600**.
  
- ☐ Any inquiry concerning this communication or earlier communications from the examiner should be directed to George Opie at (703) 308-9120 or via e-mail at *George.Opie@uspto.gov*. Internet e-mail should not be used where sensitive data will be exchanged or where there exists a possibility that sensitive data could be identified unless there is an express waiver of the confidentiality requirements under 35 U.S.C. 122 by the Applicant. Sensitive data includes confidential information related to patent applications.

  
**ZARNI MAUNG**  
**PRIMARY EXAMINER**